

DEPARTMENT OF CORPORATIONS**Financial Services Division****GUIDELINES FOR COMPLETING THE COMPLAINT FORM**

Before filling out the attached complaint form, please take the time to read these guidelines; they will help you to understand our functions, and we will be better able to understand and act on your complaint.

WHAT WE CAN DO:

a) We investigate complaints against persons, business entities, and corporations accused of violating the licensing or anti-fraud provisions of laws administered by the Department. We are empowered to bring administrative or civil actions to stop these violations, and, in appropriate cases, to refer matters to the district attorneys for criminal prosecution.

WHAT WE CANNOT DO:

- a) We cannot act as a court of law, so we cannot order that monies be refunded, contracts be cancelled, damages be awarded, etc. If you have this type of problem, you should consult an attorney.
- b) We cannot give legal advice or act as your attorney.
- c) Type or print clearly in ink.
- d) If you have any questions concerning this form, you may call (213) 576-6201 or 1-(800) 347-6995.
- e) Upon completion of all sections, please mail the form along with your supporting documents to:

Financial Services Division
Department of Corporations
320 West 4th Street, Suite 750
Los Angeles, CA 90013-1105

Complaint Form

I wish to file a complaint against the company named below. I understand that the Department of Corporations does not have the authority of a court; therefore, it cannot enforce, interpret, modify, rescind, or cancel loans, contracts, escrows or other transactions, nor can it order the return of money, award damages, or otherwise settle claims. I understand that I should consult an attorney for any problem of this nature and that the Department cannot provide legal advice or services.

PLEASE TYPE OR PRINT CLEARLY. COMPLETE ALL SECTIONS OF THIS FORM.

Name of Company:

Address:

City, State, Zip Code:

I have contacted the company about: Yes ____ No ____ If so, list the date(s) and person(s) contacted.

I have contacted an attorney: Yes ____ No ____ If so, list his/her name, address and telephone number.

I have filed a lawsuit regarding this complaint: Yes ____ No ____ If so, list the case number, and the name and address of the court.

I will sign a sworn statement regarding these charges if needed. Yes ____ No ____

Copies of the following documents are attached to and are made part of this complaint:

My full name is (PRINT) _____

Home address _____

City, State, Zip Code _____

Telephone Number [_____] _____

Telephone Number I can be reached at during the day: [_____] _____

The information provided is furnished voluntarily. I understand it is not mandatory that I furnish the requested information but failure to do so may delay or even preclude further consideration of my complaint. If the Department has requested of me and I have provided personal information, I may subsequently review this information as long as it is maintained in the Department files.

I understand that a copy of this complaint may be sent to the company complained about. If a copy of this complaint is sent to the company complained about, my complaint will remain a part of your confidential files.

Stated as briefly as possible the essentials of my complaint are as follows: (I have tried to answer the questions "who", "what", "where" and "when". I have included the full name(s), address(es), and telephone number(s) of any witnesses present during the transaction (s). I have submitted all of the information I have. I have attached a copy of all contracts and other pertinent papers [loan papers, escrow papers, checks (both sides of checks) and receipts relating to my complaint]. **I HAVE NOT SENT ORIGINALS; I UNDERSTAND DOCUMENTS CANNOT BE RETURNED.)**

This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

Date: _____

Signed: _____

**NOTICE REQUIRED BY
THE INFORMATION PRACTICES ACT OF 1977
(Cal. Civ. Code Sec. 1798.17)**

- (a) The Department of Corporations of the State of California, Financial Services Division, requests the information solicited by the forms attached to this notice.
- (b) The Chief Administrative Officer, 980 9th Street, Sacramento, CA 95814, telephone (916) 445-5541, is responsible for the system of records and shall, upon request, inform individuals regarding the location of the Department's records and the categories of persons who use the information in the Department's records.
- (c) The Department's records are maintained pursuant to one or more of the following statutes: Financial Code Sections 12201, 12204, 12216, 12220, 14252, 14254, 17201, 17209, 17209.1, 17213.5, 18115, 18116, 18146, 18345, 18347, 22101 and 50301.
- (d) The submission of all items of information is voluntary.
- (e) Failure to provide all or any part of the information requested by the attached form may preclude the Department from processing your complaint.
- (f) The principal purposes within the Department of Corporations for which the information is to be used is as part of the process to determine whether (1) a license, qualification, registration or other authority should be granted, denied, revoked or limited in any way; (2) business entities or individuals licensed or regulated by the Department of Corporations are conducting themselves in accordance with the applicable laws; and/or (3) laws administered by the Department of Corporations are being or have been violated and whether administrative action, civil action, or referral to appropriate federal, state or local law enforcement or regulatory agencies is appropriate.
- (g) Any known or foreseeable disclosures of the information pursuant to subdivision (e) or (f) of section 1798.24 may include transfers to other federal, state, or local law enforcement or regulatory agencies.
- (h) Subject to certain exceptions or exemptions, the Information Practices Act grants an individual a right of access to personal information concerning the requesting individual which is maintained by the Department of Corporations. However, section 6254 of the Government Code provides that records of complaints to or investigations conducted by the Department of Corporations are exempt from disclosure except as required by law. Additionally, section 1040 of the Evidence Code provides a privilege against disclosure of official information.